

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Chalco Shandong Advanced Material Co., Ltd

CERTIFICATE NUMBER

362

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE SERVICES  
UK LTD.

DATE OF ISSUE

30 MAY 2024

DATE OF EXPIRY

29 MAY 2027

CERTIFIED SINCE

30 MAY 2024

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'Jha', with a long horizontal line extending to the right.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to  
continued conformance with the  
applicable ASI Standard and can be  
verified at  
[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)*

CERTIFICATION SCOPE

Production of high-end Alumina  
Products at Chalco Shandong  
Advanced Material Co., Ltd, Zibo City,  
Shandong Province, China.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Chalco Shandong Advanced Material Co., Ltd
ENTITY NAME	Chalco Shandong Advanced Material Co., Ltd
CERTIFICATION SCOPE	Production of high-end Alumina Products at Chalco Shandong Advanced Material Co., Ltd, Zibo City, Shandong Province, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Alumina Refining</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Chain of Custody Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>25– 27 December 2023</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>05 February 2024</li></ul>
AUDIT SCOPE	<p>The Audit Scope included the Production of high-end Alumina Products at Chalco Shandong Advanced Material Co., Ltd, Zibo City, Shandong Province, China.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Alumina Refining</li></ul> <p>All relevant criteria in the ASI Performance Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.</li><li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li></ul>
CERTIFICATION PERIOD	30 May 2024 – 29 May 2027
NEXT AUDIT TYPE	Surveillance Audit

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NEXT AUDIT DUE DATE 29 November 2025

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If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

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## ENTITY OVERVIEW

Chalco Shandong Advanced Material Co., Ltd, (the 'Entity') a subsidiary of Aluminium Corporation of China Limited (Chalco, also known as CHINALCO), specialises in producing high-end Alumina Products. The Entity's main Products include 4A zeolite, pseudo-boehmite, and five other Alumina Products. These Products are primarily used as fillers and additives in industries such as chemical and glass manufacturing. The Entity is located within the industrial park of Aluminium Corporation of China Limited in Zibo, Shandong Province, which was established in 1958.

The Entity's main production processes include raw material slurry preparation, clinker sintering, leaching, red mud separation and washing, liquor purification, evaporation, seeding, and Product packaging.

The Entity is currently planning a Major Change to its facility to transform the existing production line into a 10,000 tonnes per annum PHS series pseudo-boehmite production for hydrocracking. Environmental approvals for the project have been received.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

	OVERALL
<b>SYSTEMS</b>	Medium
<b>RISKS</b>	Medium
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity is an active ASI member committed to complying with ASI's membership obligations and the ASI complaints mechanism. The Entity is in the Production and Transformation category: <a href="https://aluminium-stewardship.org/about-asi/members/Chalco-Shandong-advanced-material-Co---Ltd">https://aluminium-stewardship.org/about-asi/members/Chalco-Shandong-advanced-material-Co---Ltd</a>
1.2 CoC Management System	Conformance	The Entity has established policies, systems, procedures, and processes as part of its Management System, which has the capacity to handle ASI CoC Material accountability. The Entity has an integrated Management System developed in accordance with ISO9001.
1.3 CoC Management System Monitoring	Conformance	The Entity has established mechanisms for periodic review of the Management System in line with its ASI management manual. The Entity established a process to periodically review its Management System to assess the effectiveness of the ASI CoC management and address potential areas of non-conformance and improvement. The most recent management review was conducted in December 2023.
1.4 Management Representative	Conformance	The Entity has appointed a member of management as the person responsible for ASI CoC Standard implementation and defined roles and responsibilities for managing the Chain of Custody system.
1.5 Communications and Training	Conformance	The Entity has delivered training to relevant personnel to raise awareness of ASI CoC requirements this year. The Entity has further plans to implement training measures that make relevant personnel aware of and competent in their responsibilities under the CoC Standard, once ASI certified material is available.
1.6 Records Management	Conformance	The Entity maintains up-to-date records in its Management System that addresses all applicable requirements of the CoC Standard. The Entity's Record Manager Procedure defines the retention time as required by the ASI CoC Standard.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will report the necessary information, including the input/output volume of CoC Materials flowing in/out of the Entity during the previous calendar year, to the ASI Secretariat within six months after the end of each calendar year, typically in March.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	According to the Entity's Chain of Custody Management Manual, the Entity will report the necessary information to the ASI Secretariat within six months after the end of each calendar year, typically in March. However, this Criterion is not applicable to the Entity as due to process constraints, the Entity does not utilise any waste materials during the production process, nor does it generate any Aluminum oxide Waste as output.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will report the necessary information, including the Inflow and Outflow Quantities of Non-CoC Material/s to/from the Entity during the

CRITERION	RATING	COMMENT
		previous calendar year, to the ASI Secretariat within six months after the end of each calendar year, typically in March.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will report the necessary information, including the Positive Balance carried over to the subsequent Material Accounting Period, if any, to the ASI Secretariat within six months after the end of each calendar year, typically in March.
1.7e Reporting to ASI (Positive Balance used)	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will report the necessary information, including the Positive Balance used, if any, to the ASI Secretariat within six months after the end of each calendar year, typically in March.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will report the necessary information, including the Internal Overdraw drawn down from the subsequent Material Accounting Period, if any, to the ASI Secretariat within six months after the end of each calendar year, typically in March.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	According to the Entity's Chain of Custody Management Manual, the Entity will report the necessary information, including the Quantities of CoC Material/s transferred between supply chain activities within the Entity (Intra-Entity Flows), to the ASI Secretariat within six months after the end of each calendar year, typically in March. However, the Entity exclusively produces high-temperature Aluminum oxide as the sole CoC Material output. Additionally, the entire production of the product is carried out internally within the Entity, without any outsourcing or transfer activities of CoC Materials within the supply chain.
<b>2. OUTSOURCING CONTRACTORS</b>		
2.1 Certification Scope	Not Applicable	The Criterion is not applicable as the Entity does not have utilise any outsourcing contractors.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	The Criterion is not applicable as the Entity does not have utilise any outsourcing contractors.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	The Criterion is not applicable as the Entity does not have utilise any outsourcing contractors.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	The Criterion is not applicable as the Entity does not have utilise any outsourcing contractors.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	The Criterion is not applicable as the Entity does not have utilise any outsourcing contractors.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	The Criterion is not applicable as the Entity does not have utilise any outsourcing contractors.

CRITERION	RATING	COMMENT
2.5 Error (Outsourcing Contractor)	Not Applicable	The Criterion is not applicable as the Entity does not have utilise any outsourcing contractors.
<b>3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM</b>		
3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Conformance	The Entity does not procure any alumina products for resale to customers. All sales of Alumina, including ASI Alumina, are produced by the Entity itself, which is the Alumina refining plant within the scope of this CoC Certification.
3.2b ASI Alumina (Performance Standard)	Conformance	The Entity was Certified against the ASI Performance Standard in April 2024.
3.2c ASI Alumina (Bauxite sourcing)	Conformance	The ASI Alumina is defined in Entity's ASI Chain of Custody Standard Management Manual, the definition of ASI Alumina meets the ASI CoC standard. The responsible persons know the ASI CoC requirements.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP</b>		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 Unique Identification	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL</b>		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has developed a Suppliers Code of Conduct that addresses Anti-Corruption. A copy of the Suppliers Code of Conduct is available at: <a href="https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108513669.pdf">https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108513669.pdf</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has developed a Suppliers Code of Conduct that addresses Anti-Corruption. A copy of the Suppliers Code of Conduct is available at: <a href="https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108513669.pdf">https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108513669.pdf</a>



CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has developed a Suppliers Code of Conduct that addresses Anti-Corruption. A copy of the Suppliers Code of Conduct is available at: <a href="https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108513669.pdf">https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108513669.pdf</a> .
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has developed a Suppliers Code of Conduct that addresses Anti-Corruption. A copy of the Suppliers Code of Conduct is available at: <a href="https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108513669.pdf">https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108513669.pdf</a> .
7.2 Risk Assessment and Mitigation	Conformance	The Entity has a Responsible Sourcing Policy that has been communicated to relevant stakeholders. The procurement staff and others involved have been trained to conduct supplier social responsibility audits. Currently, the Entity's sole Bauxite supplier is both ASI Performance Standard and Chain of Custody Certified. The Entity performs Due Diligence on Bauxite suppliers and other raw materials, following the "Guidelines for Responsible Management of Mineral Supply Chains in China" (Second Edition). Any Non-Compliance issues found are addressed, mitigating social responsibility risks in the supply chain.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a mechanism to address complaints and concerns related to ASI. Related information can be accessed via: <a href="https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108902992.pdf">https://sdly.chinalco.com.cn/shzr/shzrbg/202312/P020231218603108902992.pdf</a>
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System in Excel format that records the Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass, which conforms to ASI CoC requirements.
8.2 Material Accounting Period	Conformance	As per the Chain of Custody Management Manual, the Material Accounting Period is defined as a calendar year from January 1 to December 31.
8.3 Input and Inflow Quantities	Conformance	The Entity records the quantities of each CoC Material input and the quantities of Non-CoC Material Inflow to the Certification Scope, there is no any Eligible Scrap or Recyclable Scrap Material used in production process. At the time of the Audit, there was no ASI material available in the Entity's supply chain.
8.4 Output Quantities of CoC Material	Conformance	In the Entity's Material Accounting System, the available Quantities of CoC Material for Output will be determined by the input quantities for each CoC Material proportional to the total inflows of CoC and Non-CoC Material by mass.
8.5 Indivisibility of CoC Material	Conformance	In Chapter 8 of the Entity's Chain of Custody Management Manual, it is defined that the Output Quantity of CoC Material, which may be a subset of total production, shall be designated as 100% CoC Material.

CRITERION	RATING	COMMENT
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.7 Consistency Between Input Percentage and Total Output	Conformance	In Chapter 8 of the Entity's Chain of Custody Management Manual, it is defined that the total Output of CoC Material does not proportionally exceed the Input Percentage of CoC Material over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	In Chapter 8 of the Entity's Chain of Custody Management Manual, it is defined that the internal overdraw shall not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period in the case that the internal overdraw has to be made.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	In Chapter 8 of Entity's Chain of Custody Management Manual, it is defined that an Internal Overdraw is only permitted when CoC Material has been contracted to be delivered to the Entity, but a Force Majeure situation has prevented timely delivery and the Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure situation.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	In Chapter 8 of Entity's Chain of Custody Management Manual, it is defined that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	In Chapter 8 of Entity's ASI Chain of Custody Management Manual, it is defined the carryover of a Positive Balance shall be clearly identified in the Entity's Material Accounting System.
8.9b Positive Balance (Expiry)	Conformance	In Chapter 8 of Entity's ASI Chain of Custody Management Manual, it is defined the Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity intends to use the CoC document template defined in ASI CoC Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity intends to use the CoC document template defined in ASI CoC Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, including a date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity intends to use the CoC document template defined in ASI CoC Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, including a Reference number.
9.2c CoC Document Content (issuing Entity)	Conformance	The Entity intends to use the CoC document template defined in ASI CoC standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, including details of the issuing Entity.

CRITERION	RATING	COMMENT
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity will issue a CoC document for each lot of material/product. The document shall include the receiving customer and its CoC Certification number if it is certified against the ASI CoC Standard.
9.2e CoC Document Content (Responsible employee)	Conformance	Chapter 9 of the Entity's Chain of Custody Management Manual defines the sales representative as responsible for verifying the information in the CoC documents and signing them.
9.2f CoC Document Content (Conformance statement)	Conformance	In Chapter 9 of Chain of Custody Management Manual, it is defined if the customer requires to issue the CoC document in its own format, the Entity shall follow the requirement. If not, the Entity shall issue a CoC document for each lot of material/product using the CoC document template defined in ASI CoC Standard, both forms shall include the conformance statement: 'The information provided in the CoC Document is in Conformance with the ASI CoC Standard'.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity will issue CoC document for each lot of material/product in the template defined in ASI CoC Standard, including the type of CoC Material.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity will issue CoC document for each lot of material/product using the CoC document template defined in ASI CoC Standard, including the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity will issue CoC document for each lot of material/product using the CoC document template defined in ASI CoC Standard, including the mass of total Material.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has determined it will not provide sustainability data by default. If however a customer raises a request, the Quality Control Center will share the Life Cycle Assessment Report with the customer.
9.3b Sustainability Data (optional) - Origin information	Conformance	In accordance with the Entity's Chain of Custody Management Manual, the Entity will not provide the sustainability data by default. If customer raises the request, the Quality Control Center will share the Origin information with the customer.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	In accordance with the Entity's Chain of Custody Management Manual, the Entity will not provide the sustainability data by default. If customer raises the request, the Quality Control Center will share the information with the customer and provide the objective evidence per request.
9.5 Verification of Information	Minor Non-Conformance	The Entity defines the responsibility and the process to respond the requests for verification of information in CoC Documents issued by

CRITERION	RATING	COMMENT
		the Entity. However, the Entity has not provided contact information, including email addresses or hotline numbers, in the CoC document for stakeholders to submit verification requests.
9.6 Error (Shipping)	Conformance	Integrated with ISO 9001 Quality Management System, the Entity has a process to record any errors, analyse the root cause, and take associated corrective action(s) to prevent the reoccurrence.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity has implemented a process to verify the required information in the received CoC documents as required by ASI Chain of Custody Standard.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has implemented a process to verify the required information in the received CoC documents as required by ASI Chain of Custody Standard.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has implemented a process to verify the supplier CoC Certification status at: <a href="https://aluminium-stewardship.org/about-asi/asi-member-listing">https://aluminium-stewardship.org/about-asi/asi-member-listing</a> .
10.4 Error (Reception)	Conformance	The Entity has a process to record any errors, feedback to supplier and require them to take the associated correction action to prevent reoccurrence.
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's ASI CoC Management Manual defines all claims and communications shall follow the ASI Claims Guide including communication with the ASI Secretariat, and the relevant roles and responsibilities are defined. At the time of the Audit, there were no examples of effective implementation of the system as no ASI CoC Material was available on the Entity's supply chain.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity assigns roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide. At the time of the Audit, there were no examples of effective implementation of the system as no ASI CoC Material was available on the Entity's supply chain.
11.1c Claims and Communications (Employee training)	Conformance	The Entity provides training courses on Claims and Communication to relevant employees.

#### ASI LIMITATION OF LIABILITY DISCLAIMER

Organisations that make ASI-related claims are each responsible for their own compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that compliance with an ASI Standard, document or other material, recommendation or

directive issued by or on behalf of ASI will result in compliance with any Applicable law, or will avoid any Breach from occurring.

#### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	30 May 2024	Initial Certification Audit – Full Certification

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